

FIG. 1

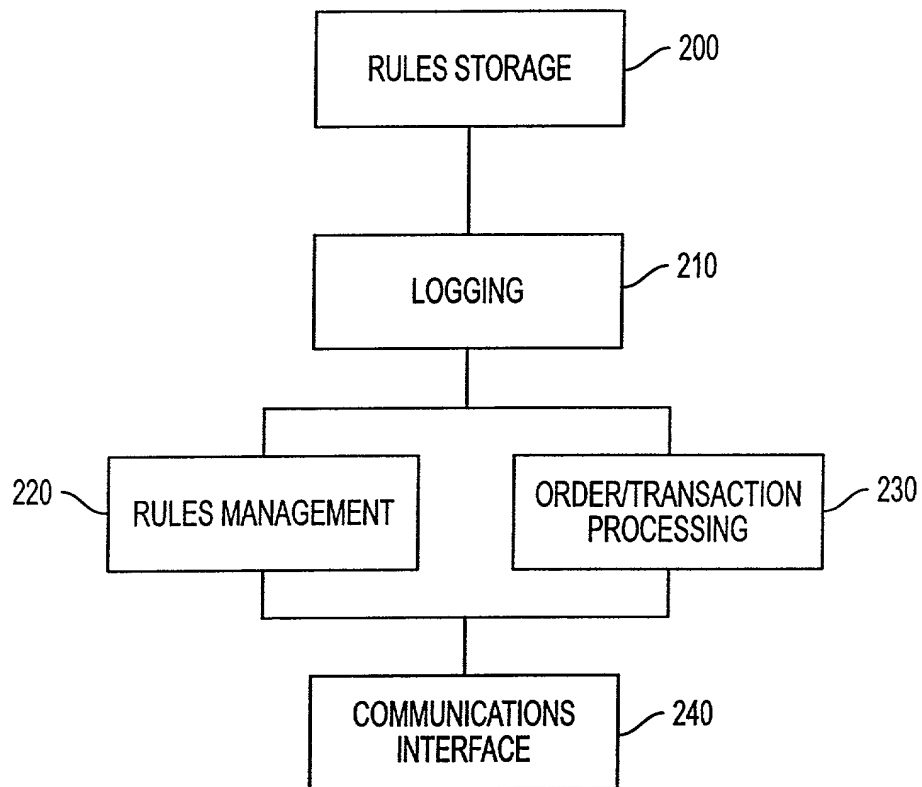


FIG. 2

EXAMPLE:			
<u>NUMBER</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
1011	MANDATORY	FIRM	STOP

THIS RULE STOPS AN ORDER FOR AN ACCOUNT THAT IS CLOSED.

FIG. 3A

EXAMPLE:			
<u>NUMBER</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
1141	OPTIONAL	FIRM OFFICE INVESTMENT PROFESSIONAL ACCOUNT	STOP APPROVAL WARNING ACCEPTANCE

THIS RULE INDICATES THAT AN ORDER HAS BEEN PLACED WHICH EXCEEDS A CREDIT LIMIT PARAMETER

FIG. 3B

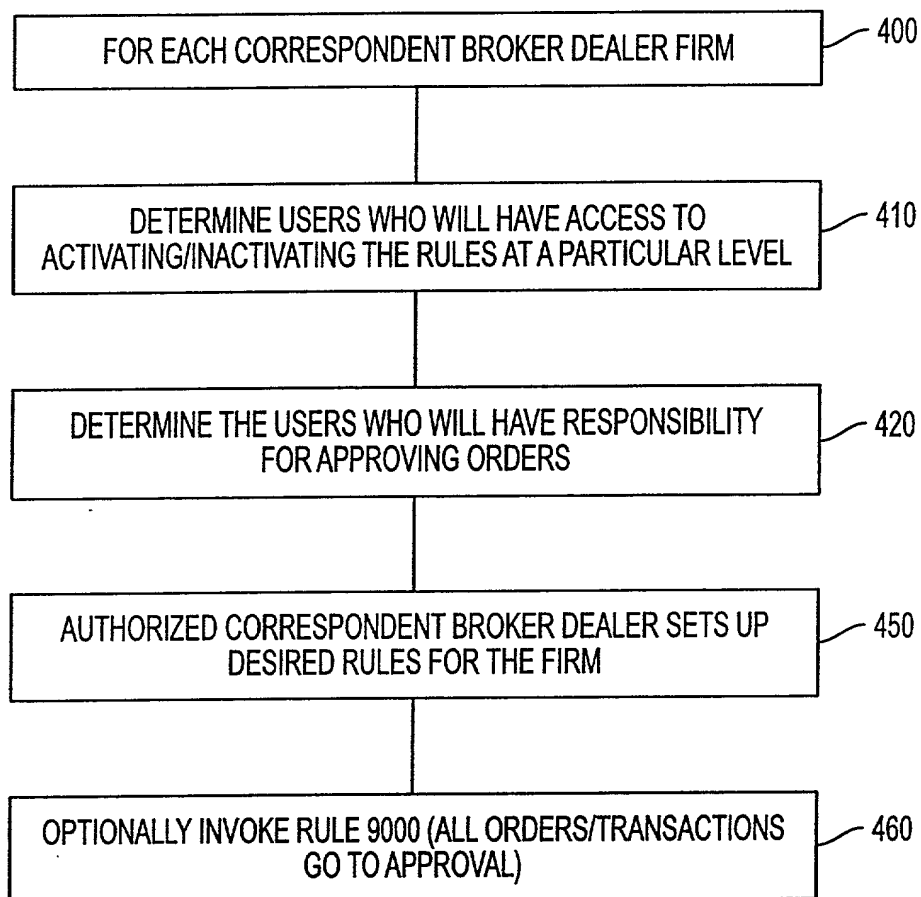


FIG. 4

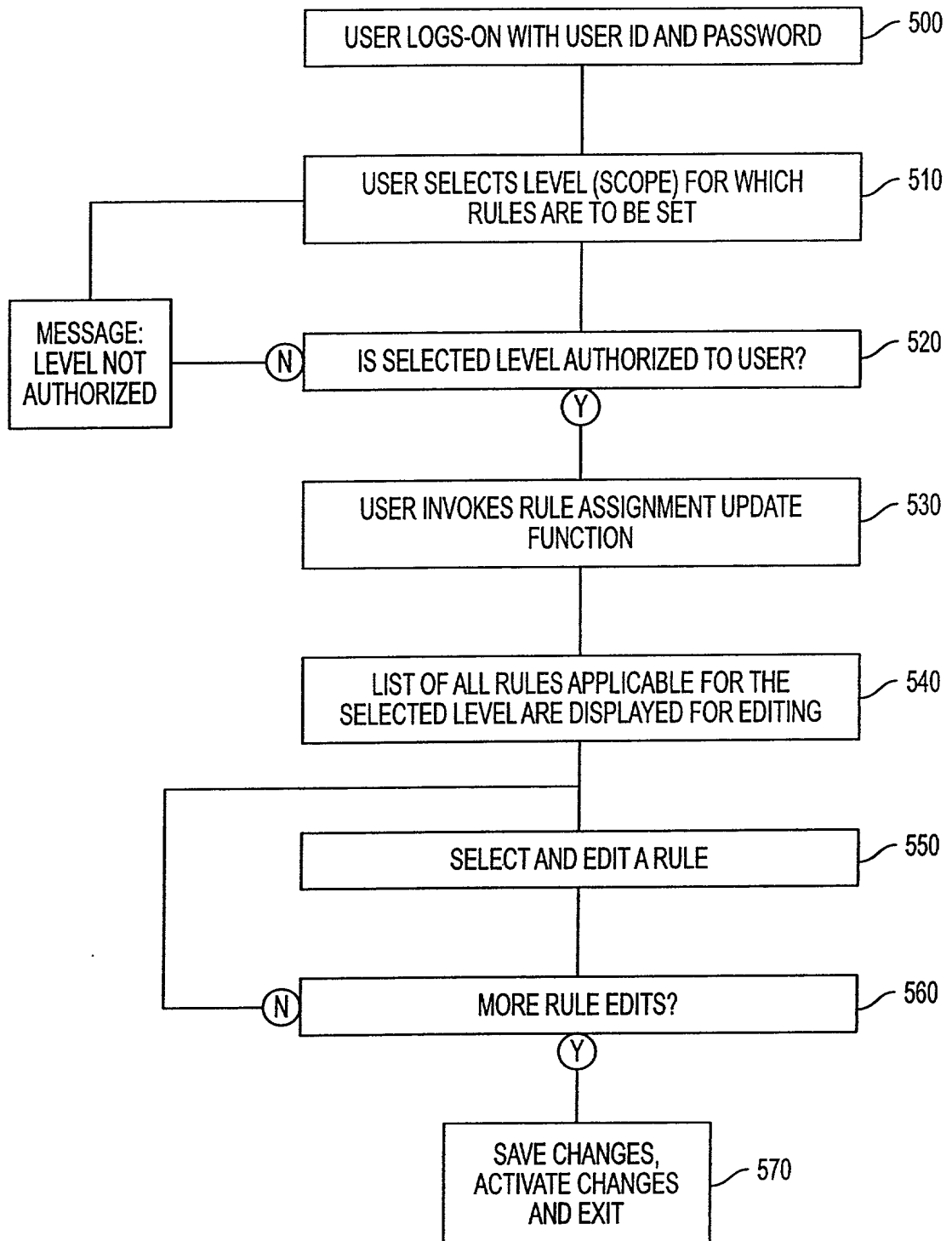


FIG. 5

12345678901234567890123456789012345678901234567890123456789012345678901234567890

G8E6 RULES ASSIGNMENT DEFINITION					01/29/99 10:21	
FUNCTION: RAMN CORR: 40V ACCOUNT: _____ DATA: _____ NEXT: _____						
MORE PAGES AVAILABLE					PAGE	1 OF 2
RR: _____					PARM	GROUP
ACT	INHERITED RULE	OUT COME	RULE CODE	RULE DESCRIPTION	IND	ID
P	P	S	1011	ACCOUNT CLOSE CHECK		
P	P	S	1012	ACCOUNT TRANSFER CHECK		
P	P	S	1013	ACCOUNT PENDING CLOSE		
P	P	A	1014	OPTION EXPIRATION		
P	P	A	1017	ADOPTION AGREEMENT		
P	P	S	1018	MARGIN ORDER IN RETIREM		
P	P	S	1019	SHORT SALE IN RETIREMEN		
P	P	A	1052	OPTION PAPARS OF FILE		
Y		A	1080	EQUITY SELL		
Y		A	1081	EQUITY BUY TO COVER RUL		
Y		A	1082	SELL TO CLOSE RULE		
Y		A	1083	SELL TO OPEN RULE		
Y		A	1084	BUY TO CLOSE RULE		
		A	1085	EQUITY SHORT SALE		
P	P	A	1101	MARGIN PAPERS		

1=HELP 3=PREV 4=SAVE 5=CANCEL 7=BACK 8=NEXT 9=RULE CODE 10=RULE PARM 12=MENU

FIG. 6

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G8E6                                RULE CODE DEFINITION                                02/22/99 10:08
FUNCTION: RCODE  CORR:  _____ ACCOUNT:  _____ DATA:  _____ NEXT:  _____
RULE CODE DISPLAYED

RULE CODE          : 1141    (NUMERIC)
CATEGORY CODE      :         (SY/P/PS OR SPACE)
OUTCOME            : A      (W/S/A/D)
PARM INDICATOR     : Y      (Y/N)
GROUP ID           : _____ (NUMERIC)
RULE DESCRIPTION    : TRADING LIMIT RULE BY DOLLAR AMOUNT

RULE MESSAGE       : TRADING LIMIT EXCEEDED

PF: 1=HELP  3=PREVIOUS  4=UPDATE  5=CANCEL  7=BACK  8=FORWARD 12=MENU

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FIG. 7

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G8E6                RULE PARAMETER                02/22/99  10:11  PAGE: 01
FUNC:  ____  CORR:  ____  ACCT:  ____  ____  RR:  ____  DATA:  ____

RULE CODE: 1141    TRADING LIMIT RULE BY DOLLAR AMOUNT

      EQUITY      MUTUAL-FUNDS      OPTION      FIXED-INCOME
-----
PRCPLAMT - CUS      10000      50000      10000      100000
PRCPLAMT - BKR      100000      100000      50000      250000

PF:  1=HELP      3=PREVIOUS      4=UPDATE      5=CANCEL      7=LEFT      8=RIGHT
  
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FIG. 8

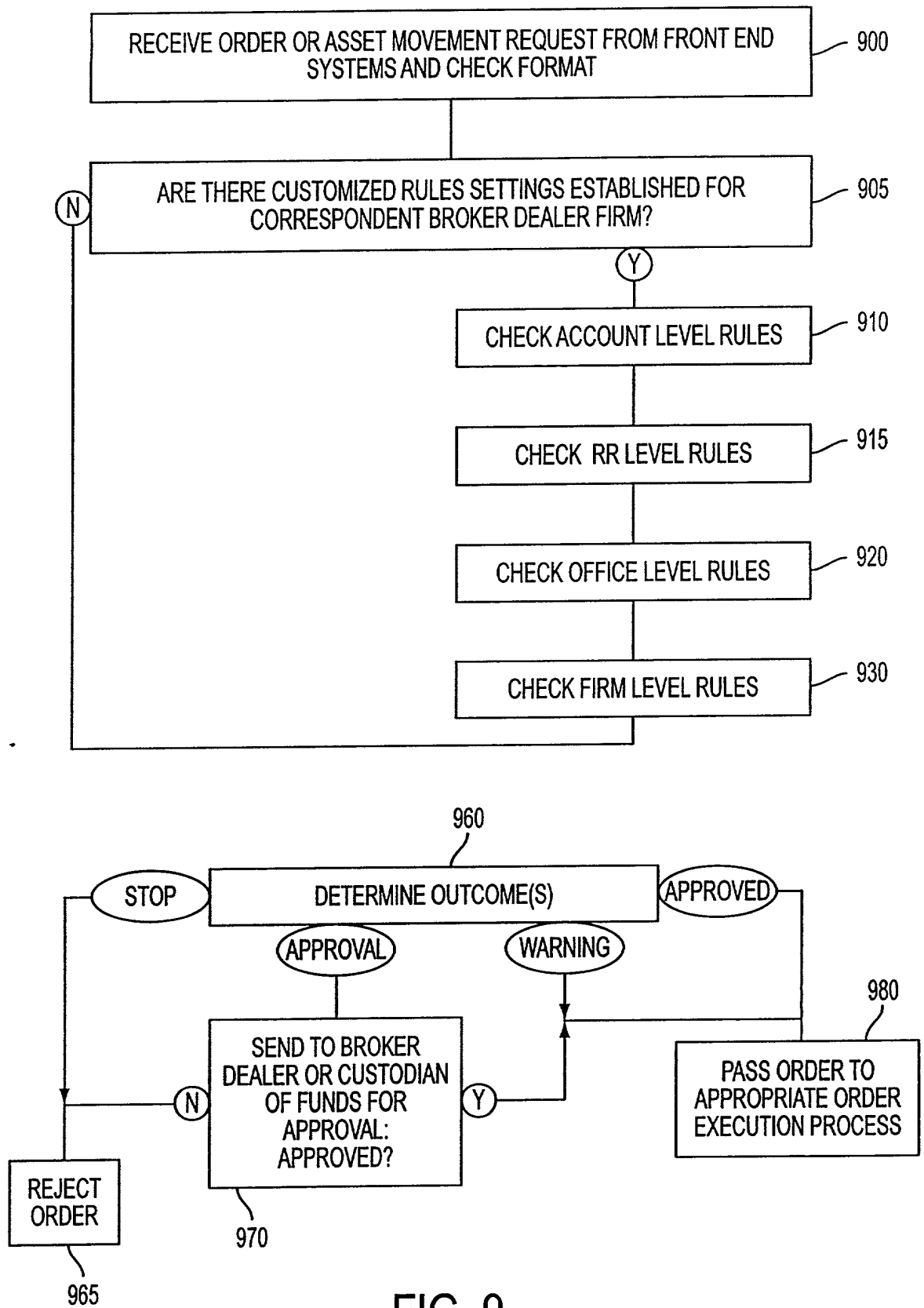


FIG. 9